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ABSTRACT

This document presents the policy guidelines to be observed by the New York State Library in the administration of Federal Library Services and Construction Act (LSCA) funds. The first section is a general policy statement which covers priorities; the relationship between federal and state programs; the application review process; eligibility for participation; administration, planning, and evaluation; consultants; publications and productions; expenditure of funds; audits; conference travel; and membership/affiliate costs. Policies for Title I funds for public library services are described in the second section, including eligibility and other criteria for public library systems, major urban resource libraries, institution library services, and libraries for the blind and physically handicapped. The third section refers the reader to another source for guidelines for Title II funds for library construction, while the fourth covers policies for Title III funds for interlibrary cooperation and resource sharing, including the purpose, eligibility, criteria, and specific projects. Appended materials include information on the reimbursement policy and compliance audit costs for LSCA, and guidelines for Title III funded retrospective conversion projects. (MES)

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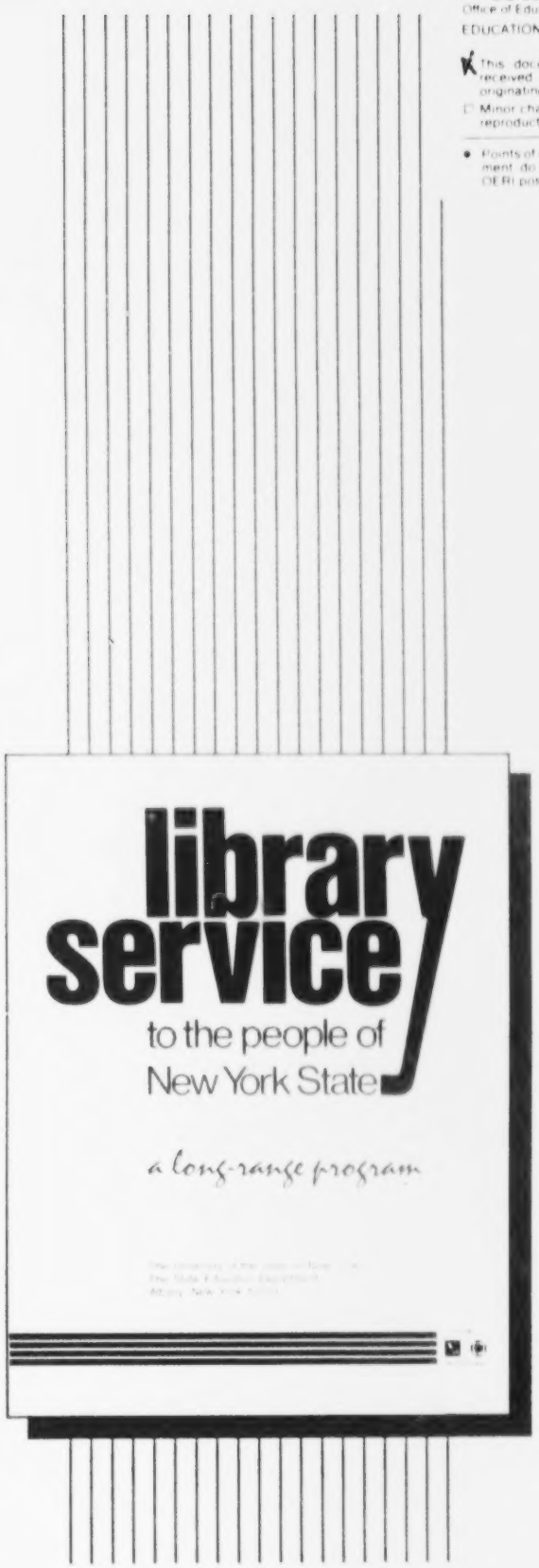

POLICY GUIDELINES ON THE ADMINISTRATION OF LSCA FUNDS 1988-89

Supplement 2 to Library Service to the People of New York State

October 1, 1988 through September 30, 1993

The University of the State of New York
The State Education Department
Division of Library Development
New York State Library

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March 1988

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Policy Guidelines on the Administration of LSCA Funds

March, 1988

The following policy guidelines, many of which are taken from documents approved by the LSCA Advisory Council and by the Board of Regents, will be observed in the administration of LSCA funds under the Long Range Program.

I. GENERAL POLICY STATEMENT

A. Priorities

The New York State Library, through its Division of Library Development (DLD), supports the service and resource sharing priorities (see Section II.A.2 and IV. A) of the Federal Library Services and Construction Act in making grant awards and in its expenditures for statewide services and administration of the LSCA program.

Within those priorities, while DLD does not set dollar level targets, it will, in the *Annual Program Statements* each year, emphasize certain target groups or specific types of projects. In cases where a statewide need must be addressed, some funds under Title I, Project I and Title III, Project 7 may be set aside for invitational grant programs. Five such programs were the Microcomputer Literacy Program in 1982 (Title I); the Bilingual Invitational Grant Program in 1983 (Title I); the Invitational Grant Program in 1986 for projects related to regional database development (Title III); the Family Reading Program (Title I) and Retrospective Conversion Program (Title III) in 1988.

Since FY 1984, DLD has asked systems to rank their proposals in priority order. DLD staff give this order the fullest possible consideration in the review process, but to meet overall statutory and program requirements may not always be able to fund systems' proposed projects in their priority order.

B. Relationship Between Federal/State Programs

LSCA funds comprise about one-tenth of the total aid available to libraries through DLD. As indicated in the subtitle to the Long Range Program, *Library Service to the People of New York State*, DLD's approach to improving library services in New York State is through utilizing local, State, and Federal resources in an integrated fashion. Certain Federal LSCA programs and State categorical programs, including outreach services, Education Information

Centers, automation/technology programs, and literacy are directly complementary. In addition, literacy programs have received considerable local support, as, for instance, in New York City from the Municipal Assistance Corporation.

State aid for library systems provides continuing, significant support for public library services and interlibrary cooperation and resource sharing among all types of libraries. The LSCA national priorities, funding history, appropriations, and the limited amount of LSCA funds are the basis of the policy which uses LSCA funds in a targeted, supplementary way and warns against expectations that Federal support for specific projects or services will continue indefinitely.

C. Application Review Process

As indicated in the Annual Program Statement (APS), the application process is in two stages, with an initial proposal and a later, full application with detailed budget.

The review at each stage involves staff and administrators of DLD and the NYSL. In addition, DLD may on specific occasions request reviews by other SED staff, as was done with the Microcomputer Literacy Program and the Bilingual Invitational Program.

Projects may be denied or considerably reduced at the initial stage for many reasons. The most frequent reason is that funds are limited. However, some denials at the proposal stage occur because projects are (1) inappropriate for LSCA priorities, (2) ill-defined, without clear purpose or objectives, or (3) not in keeping with guidelines stated in either the APS or other relevant documents.

Two major categories often affected by such cuts or reductions are personnel and equipment. The instability of Federal funds in the past few years makes it unwise for DLD to encourage the addition of new or increased personnel for either new projects or those that have continued for some time. In a year when reductions are necessary, DLD will look carefully at equipment requests. In all instances, personnel or equipment not justified in the narrative application will be eliminated.

Most denials occur at the proposal stage, but in recent years there have been several denials at the second stage. This may occur for two main reasons: (1) review of the fully developed application may reveal that the project does not meet the LSCA priorities or DLD policies, or will not be sufficiently valuable to warrant use of limited funds; (2) delay in receipt of funds or reduction in anticipated allocation may necessitate caution in starting new projects. The Gramm-Rudman-Hollings Amendment continues to have an effect on LSCA funding. While that amendment is operational, there is always the possibility that cuts will be necessary after applications have been requested and, in cases of cuts at the national level, after projects have been approved.

The schedule for receipt of proposals and applications and for notifications to systems is in the Title I APS. DLD staff make every effort to meet those deadlines within the limitations of often-delayed appropriations at the national level.

D. Eligibility for Participation

Specific criteria for eligible participants are detailed in the Annual Program Statements and in later sections of this document. In general, except for MURLS grants to seven public libraries, grants are made to public library systems, reference and research library resources systems, and State departments or administrative agencies which operate residential institutions.

E. Administration, Planning and Evaluation

The State Library uses a variety of sources of advice and assistance in planning and evaluation of its programs and services. In addition to the LSCA Advisory Council and the Regents Advisory Council on Libraries, staff maintain communication and dialogue with system directors, New York Library Association, New York State Association of Library Boards, users, and others.

Programs undertaken with the assistance of LSCA funds are evaluated in a number of ways:

a) Applicants are required to submit a completed application form indicating measurable objectives for projects. Each project application is expected to provide specific criteria for evaluation of the project's objectives (see pages 4-5 of the Title I APS). Applications are reviewed by State Library staff and, on occasion, by other SED staff. Decisions to fund and at what level are based on information provided in the applications. Clearly stated, measurable objectives and specific criteria for evaluation are major considerations in the review process.

b) In the several reports (6-, 9- and 12-month) required of each funded project, the sub-grantee must indicate whether the objectives of the project are being met. Evaluative criteria are particularly important for these reports.

c) Field visits by LSCA program staff and other DLD consultants to project sites help to monitor program accomplishments and gather information on the administration and implementation of projects.

d) Annually, the LSCA Advisory Council evaluates a selection of projects from the most recently completed year by means of a review of reports and, in some instances, first-hand knowledge.

e) In addition, the State Library from time to time engages outside evaluators to assess a project or group of projects.

F. Consultants

Consultants may be hired on a total rate contractual or per diem basis. If the total rate basis is used, the contract should clearly state the work expected of the consultant, the timetable for the work, and give a breakdown of costs covered by the contractual figure. If travel costs are paid separately and outside of the contract, that should be stated. The project budget will then show an itemization of travel costs under the Travel category.

If consultants work on a per diem basis, the contract (or letter of agreement) should state the number of days and the per diem rate. If other expenses, such as travel, are paid separately, the agreement should so state.

There is some allowance for variation in rates for consultants in different parts of the state. Ultimately, the fee is determined by the work to be done, the credentials of the consultant, the time and materials required, and the location of the project.

G. Publications and Productions

Publications and other productions, such as slide shows and videos, which are created under an LSCA project must include the following acknowledgement:

> "This publication was supported by Federal Library Services and Construction Act Title ____ funds, granted by The New York State Library."

H. Expenditure of Funds

1. Uses of Funds

The following restrictions, outlined in the Title I APS, apply to all state-administered LSCA programs under Title I and Title III.

a) All Federal funds shall be expended solely for the purpose for which paid.

b) They must be spent in accordance with all applicable laws and regulations governing this program.

c) They cannot be used to pay interest on loans.

d) They may not be used for political activities.

e) Any income earned under this program must be properly accounted for and utilized in accordance with Federal laws and regulations.

f) Grant recipients are advised that if fund raising activities of any kind are involved in the work of an LSCA project, such activities must be paid for by local support and that fact must be indicated in all narrative reports of the project.

Continuing education projects on the single topic of fund raising are not eligible for LSCA funding. Only if fund raising issues are a small part of a larger public relations program would it be considered for funding.

g Local support (excluding capital expenditures) of agencies receiving a Federal grant may not be reduced because of the receipt of Federal funds.

It is the policy of DLD not to use Title III funds for materials purchases.

2. Encumbering Funds

In order for certain types of purchases, such as equipment, library materials and supplies, to be received and possibly even paid for within a project year, we suggest that all grant recipients order such materials **no later than June 1** of the project year.

3. Requesting Funds and Reporting Expenditures

Except for the initial 25% payment at the beginning of a project, LSCA funds are released on the basis of an approved "Expenditure Report and Monthly/Quarterly Request for Funds" (FA-25). It is very important that these reports and the "Final Project Expenditure Report" (FA 10-F) be filed on time as DLD's ability to report to the U.S. Department of Education depends on information concerning expenditures at the local level.

DLD will withhold initial and/or monthly/quarterly payments for projects if expenditure and narrative reports for previous years are not filed in a timely manner.

Consistent disregard of filing deadlines may result in a system's being declared ineligible to receive LSCA funds.

I. Audits

The Federal Single Audit Act of 1984 has important implications for administration of LSCA projects. In FY 1987 we added a paragraph to page 9 of the LSCA application, and we call it to your attention here:

> "...the applicant will provide copies of such financial and program audits of LSCA projects as Library Development may request to meet the requirements of the Federal Single Audit Act of 1984."

DLD's policy and procedures concerning reimbursement of costs occasioned by the

compliance audit requirements of the Single Audit Act are included as Appendix A of this document.

The procedures for applying for direct cost reimbursement for FY 1990 projects will be different from the ones described in Appendix A. They will be described in next year's policy guidelines.

J. Conference Travel

LSCA funds allocated to conference travel must be used for project-specific purposes. For example, in a literacy project, funds might pay for travel to an LVA conference, or in a project serving the elderly, funds might be used for a conference on aging. Project funds should not be allocated to pay for general travel to ALA, NYLA, or PLA. Specific pre-conferences at these annual meetings will be considered on an individual basis.

All travel reimbursement requested must be consistent with the travel reimbursement policy of the system.

K. Membership/Affiliate Costs

Group membership and/or affiliate fees, such as Literacy Volunteers of America affiliate fees, are not allowable under Titles I and III.

II. TITLE I — PUBLIC LIBRARY SERVICES

Grants are awarded under this Title to public library systems, to major urban resource libraries, and to State departments or administrative agencies which operate residential institutions. In addition, Title I funds are used to strengthen appropriate services of the State Library, which provides back-up resources for the entire State; to assist DLD in its work of extending and improving library services statewide; and to administer the LSCA program.

A. Public Library Systems

1. Eligibility

Twenty-two public library systems in New York State, approved under Section 272 of the Education Law, are eligible for participation under Title I. Except for an award to The New York Public Library for a Regional Library for the Blind and Physically Handicapped and major urban resource libraries (MURLS) awards to seven specific public libraries, grants under this Title are competitive.

2. Priorities

Systems receive copies of the APS annually and are expected to submit applications addressing the LSCA priorities as outlined in the APS. Those priorities include specific target groups as well as specific purposes. The target groups include those who are:

a. culturally, educationally, and/or socioeconomically disadvantaged;

b. illiterate;

c. limited in English-speaking ability;

d. elderly;

e. disabled.

The specific purposes include:

a. promoting libraries as community information and referral centers;

b. promoting effective use of technology;

c. providing special programs in rural or urban areas with inadequate service.

Systems are requested to submit applications for projects providing programs of service directed at target groups or fulfilling one of the specific purposes. It is expected

that LSCA funds are supplemental only, the basic support for libraries and library systems coming from local and State aid. Because of this condition, DLD often denies projects that appear to be "materials-only" requests for items that would normally be purchased under a library's materials budget. Such denials may occur regardless of material format.

In general, projects are focused on one target group or one purpose. Because of reporting requirements to the U.S. Department of Education, DLD asks systems not to combine types of service; for example, a project intended to serve both illiterates and non-English-speakers should be presented as two separate projects so that New York State's effort in meeting the LSCA priorities is clearly demonstrated.

Over the past three program years, DLD has indicated to some systems with very large multi-faceted projects that the significant components must be broken out into separate projects. This requirement will continue, and systems are advised to divide their projects clearly for FY 1989.

3. Specific Types of Projects

a. Projects for Effective Use of Technology

Projects in this category would improve public access to library resources and promote resource sharing through effective use of technology. The projects must be cooperative and be conducted jointly by two or more public library systems. Specific guidelines for these projects are:

(i) Projects must improve Statewide access to bibliographic and location information and be consistent with the region's five-year plan for the development of bibliographic databases as well as the long range plans of the public library systems involved in the project.

(ii) Bibliographic databases must be designed to meet the information needs of all library users in the State. Access may be through a regional center or system, by a local library, or by an individual via an online terminal, videodisc, microform or printed catalog.

(iii) Data created or entered into a database through the use of these funds shall be available to the State Library without charge.

(iv) Data must adhere to standard formats:

(a) Data must meet MARC standards or a compatible subset of the standards approved by the State Library.

(b) Serial records must conform to the "I" level MARC serial record as defined in OCLC and CONSER operating and editorial manuals. Serial holdings statements must conform to the ANSI standard for summary holdings statement.

(c) Communications disciplines must meet the various appropriate national standards and must be approved by the State Library.

(v) Although an LSCA grant is awarded for one year only, the application for a new project must include a three-year cost projection showing both the amount and sources of funding. LSCA funding for development projects will not normally exceed three years, but this does not mean that three-year funding is guaranteed. The ability to continue a

project or maintain its outputs will be an important consideration in initial funding.

Applicants for projects in this category must submit, in addition to the regular LSCA proposal form, a completed "Automation Project Supplement" form which is part of the proposal materials packet mailed to systems annually. Large sums of money are usually involved in these projects and detail requested in that form is necessary in evaluating the proposals.

b. Regional Trustee Workshops

For several years DLD has approved projects involving public library trustee workshops. Because we think it is important to carry out such projects on a regional basis, a basic requirement for these projects is that they involve two or more public library systems. Grants for such projects may be awarded for up to $9,000.

B. Major Urban Resource Libraries

1. Eligibility

When the annual LSCA Title I appropriation exceeds $60 million nationwide, the major urban resource libraries serving cities of 100,000 people or more in New York State will be notified by DLD that they may apply for projects to meet their needs. This involves the following seven public libraries serving Buffalo, New York, Rochester, Syracuse and Yonkers:

Brooklyn Public Library
Buffalo and Erie County Public Library
New York Public Library
Onondaga County Public Library
Queens Borough Public Library
Rochester Public Library
Yonkers Public Library

Allocations of funds are determined by a formula based on the percentage of the 1986 estimated total urban population each city represents added to a base figure. In FY 1988, P.L. 99-500 required distribution of 45.9 percent of the funds made available as a result of the state's allocation from funds appropriated in excess of $60 million.

2. Criteria

In addition to meeting other applicable requirements for participation in the program, an eligible library identified above must:

a) have a collection of at least 230,000 volumes, with appropriate specialization in subjects of regional concern, including local history, business and economic interests of the area.

b) be open at least 55 hours per week, on at least six different days, and have evening and weekend hours.

c) have at least one professional staff person per 10,000 population.

d) allocate and expend for library materials at least 5 percent of the total operating budget.

e) spend a minimum of $.50 per capita for library materials.

f) participate fully in interlibrary lending and access programs sponsored by the Reference and Research Library Resources System.

This Title I project emphasizes the purchase of materials to improve the library's collection and its ability to serve as a regional resource. However, the LSCA funds are intended to supplement, not supplant, local support.

C. Institution Library Service

1. Eligibility

In order to provide improved library service to

persons resident in State institutions, five State agencies are annually invited to apply for LSCA funds. The eligible agencies are:

(1) Department of Correctional Services

(2) Department of Health

(3) Office of Mental Health

(4) Office of Mental Retardation and Developmental Disabilities

(5) Division for Youth

The purpose of such projects is to provide library service, comparable to the service available to the general public, to persons who do not have access to these facilities because they are institutionalized.

2. Criteria

Project applications will be evaluated with the highest priority going to projects and/or agencies which:

(1) Clearly meet the criteria defined on pages 3-5 in the Title I APS.

(2) Best combine Federal and non-Federal funds for provision of institution library service.

(3) Have successfully carried out other LSCA projects and have filed all reports.

(4) Have demonstrated an ongoing commitment to improving library services.

Because of limited funds available under this project, DLD has established a policy of rotating the grants so that no State department or agency can anticipate renewal each year. Effective with the FY 1987 program, no project in this category will be funded more than two years continuously.

To improve library service for residents of State institutions, the State Agency may invite applications for grants from a public library system or a State department or administrative agency. Such a grant may be invited at any time during the calendar year.

D. Blind and Physically Handicapped

1. Eligibility

Local library resources for serving the blind and physically handicapped are supported by two regional libraries for the blind and physically handicapped in New York State.

The New York State Library for the Blind and Visually Handicapped serves as the Regional Library for 55 counties in upstate New York. Staff of this library provide direct services to 20,000 readers, work with public libraries, and, where appropriate, other libraries to encourage them to develop special services for blind and physically handicapped readers at the local level.

The New York Public Regional Library serves five counties in the New York City area and two counties on Long Island. The grant to this library supports mail-order library service to 23,000 blind and physically handicapped readers in the seven counties, local production of titles to supplement the nationally selected book collection, training of volunteers for equipment maintenance and repair programs, and staff to assist patrons using reading aids.

2. Criteria

Applications meeting the conditions outlined in the Title I APS are required from each of these regional libraries.

III. TITLE II – LIBRARY CONSTRUCTION

For information on purpose, eligibility, allocation of funds, and program time schedule, see Sections 1-9 of the Title II APS.

IV. TITLE III – INTERLIBRARY COOPERATION AND RESOURCE SHARING

A. Purpose

Funds under this Title provide for the development and expansion of networks of library cooperation which will produce effective coordination of the resources of various types of libraries.

The statewide automation plan, *Libraries and Technology*, and the strategies for implementing it recommended by the Phase II Automation Committee and the task forces on Database Criteria, Linkage, and Telecommunications will guide DLD in setting priorities for the use of Title III grants for automation projects, including access, bibliographic control, and database development.

In FY 1989, Title III proposals and applications will be submitted on two schedules. Proposals for all projects not involving retrospective conversion (but including Metro's Union List of Serials) are to be submitted by the April 29 deadline cited in the Title I APS.

DLD has incorporated many of the recommendations from the Database Criteria Task Force in the "Guidelines for LSCA Title III-Funded Retrospective Conversion," published as Appendix B to these *Policy Guidelines*. Applications for retrospective conversion projects are to be submitted by November 3.

B. Eligibility

Grants may be awarded to the 22 public library systems and 9 reference and research library resources systems as approved under Section 272 of the Education Law. As noted below the applications must be consistent with the regional plan for bibliographic databases.

C. Criteria

The following are several criteria which must be met by all applicants:

a) The project proposed must benefit libraries of two or more types with evidence of co-endorsement from all which are participating.

b) The benefits of the project must be made available to all libraries and their staff and clients on no smaller a regional basis than that of a reference and research library resources system.

c) Activities covered by these grants shall be in addition to, and compatible with, those authorized by the basic system plan of each type of system.

d) All proposals for projects involving automation or databases must meet the specific guidelines stated in Section II.A.3.a. of these policy guidelines.

e) A proposal for automation including retrospective conversion of bibliographic and holding data for serials or monographs must be consistent with the region's five-year plan for bibliographic databases and with administrative guidelines for retrospective conversion (Appendix B).

D. Specific Types of Projects

1. Bibliographic Control

a. Union List of Serials (ULS)

Since 1979 nine regions have received awards for projects involving the development of regional union lists of serials and by 1987 eight regions had completed the initial development of their lists. Metro has a continuing project underway. It is important to note that

LSCA funds are provided to assist in the development, not the maintenance of, these union lists of serials. Continued updating and maintenance are considered to be a regional responsibility and regions may apply for funding in support of these activities under the Regional Bibliographic Databases program.

In 1986, all regions were given the opportunity of expanding their ULS projects to include the holdings of the new school library systems. Depending upon availability of funds and other developments, DLD may similarly invite applications for defined expansions of union lists of serials.

Metro's project will continue to operate under the reimbursement rates established in the Union List of Serials Guidelines dated March 24, 1986.

b. Retrospective Conversion

Applications for retrospective conversion projects must be linked to the regional database plan and must meet the current "Guidelines for LSCA Title III-Funded Retrospective Conversion Projects."

2. Access

Applications for access projects must be consistent with the regional plans developed under the Regional Bibliographic Databases program. DLD will not entertain requests for equipment-intensive projects.

From 1976 to 1984, DLD provided subsidized search services through commercial databases for libraries throughout the State as a means of introducing these services through the systems. Grants therefore are not awarded to systems or regions for search services.

3. Continuing Education

Applications for projects designed to assist in the continuing education of librarians must relate particularly to the resource sharing objective of Title III.

LSCA and Compliance Audit Costs

REIMBURSEMENT POLICY

The Education Department will assist with meeting the cost of complying with Single Audit Act requirements. Effective with the FY 1989 LSCA projects, systems may apply for reimbursement for a portion of the cost for providing a compliance audit of each project under OMB A-110 as a direct cost under Code 40 (Purchased Services).

The reimbursement will be up to 1% of an individual project budget or that project's pro rata share of the cost of the audit, whichever is the lesser amount.

The following explanation is taken from the January, 1987 edition of *Fiscal Guidelines for Federally Aided Programs* (p. 41) which was sent to systems by the Educational Finance Office.

Reimbursement of the audit cost . . . is allowable subject to the following conditions:

a. An agency must contract with an independent auditor prior to the project ending date.

b. The contract must specify a cost for the audit. The agency will then budget the pro rata share of the Federal portion of the audit cost to the project. For purposes of reimbursement, the pro rata share charged to a project should not exceed the percentage that the project represents of the total Federal project expenditures of the agency during the audit period.

c. Final reimbursement will be based upon substantiation of the pro rata share of the audit cost, as well as any internal transactions identifying audit charges to the project.

The phrase "internal transactions" in c above refers to any internal paperwork that the system's accounting system generates to provide an audit trail.

Library Development will consider for reimbursement only that portion of the audit charge which the program review or compliance part occasions. It is assumed that the LSCA financial audit will be included with the regular system audit and that cost will not be reimbursed. The period to be covered by the audit is the calendar year for the public library systems and the July 1-June 30 year for the reference and research library resources systems. This means that more than one LSCA project year may be involved in the audit, even though the reimbursement will be made to a specific project.

PROCEDURE

If you wish to apply for direct cost reimbursement for FY 1989, please submit to Library Development by **September 15, 1988** a letter from an independent auditor estimating the cost of auditing your FY 1989 LSCA projects and your proposed allocation of that cost among the several projects. For projects with estimates arriving by this date we will be able to add the cost to the FY 1989 budget before it has been approved. If letters arrive after October 1, systems will have to submit budget amendments (Form FA-10-A) to add the cost to the various pro-

jects. In future years we anticipate that you will be asked to include the cost at the proposal or application stage.

Please remember that reimbursement is limited to 1% of the total project budget or the project's pro rata share of the audit cost, whichever is the lesser amount.

In order to meet the requirement of submitting your Final Project Expenditure Report (FA-10-F) for FY 1989 projects by October 31, 1989, the Educational Finance Office has advised us that systems having a contract for an audit may pay for the audit in advance. This will enable you to file your expenditure report on time with an appropriate check number.

Questions regarding this policy and procedure should be directed to Sara McCain or Carol Sheffer at (518) 474-6971. However, questions about the Single Audit Act, its overall requirements, the OMB A-110, and the need for compliance should still be directed to SED's Bureau of Educational Management Services at (518) 474-3911.

Guidelines for LSCA Title III Funded Retrospective Conversion Projects

August, 1988

BACKGROUND

The following guidelines have been established to assist library systems in New York State implement and administer LSCA-funded projects dealing with retrospective conversion of monographs, serials, and non-print materials except manuscript or archival collections. The purpose of the guidelines is to ensure (1) a common machine-readable record that conforms to the Library of Congress's MARC format for bibliographic data, CONSER and the ANSI/NISO standards for serials holdings; (2) the availability of those records in a prescribed format to the New York State Library; and (3) release of bibliographic data by participating library systems to the State Library.

The guidelines take into consideration prior guidelines and experience gained from completed and current retrospective conversion projects. Reimbursement rates for monographs, serials, and non-print materials are announced separately from this document. They are based on experience in past retrospective conversion projects funded by both LSCA and the Regional Data Base program, the increased demand for retrospective conversion projects, and the need to provide wider support with limited funding.

GUIDELINES

1) All applications for retrospective conversion must meet the following criteria:

   a) The project must benefit libraries of two or more types with evidence of co-endorsement from all which are participating. For projects sponsored by reference and research library resources systems, authentication by their boards, which include representation from all types of libraries, will suffice as evidence. For projects submitted by a public library system, authentication from its board as well as evidence of co-endorsement from the other types of libraries involved will be required.

   b) Projects must improve statewide access to bibliographic and location information.

   c) Bibliographic databases must be constructed to meet the information needs of all library users in the State. Access to bibliographic records may be through a regional center or system, by a local library or an individual.

      Bibliographic access may be through an online terminal, microfilm, printed catalog, or videodisk.

d) Access to all library materials represented by records converted by the project, in accord with reasonable conditions, must be guaranteed either on site or through interlibrary loan by the owning library.

e) Data created or entered into a database through the use of these funds shall be available to the State Library without charge.

f) Data must adhere to standard formats:

- Monographic records must follow AACR 2 and conform to the "I" level MARC format for bibliographic records.
- Serial records must conform to the "I" level MARC serial record as defined in OCLC and CONSER operating and editorial manuals. Serial holdings statements must conform to the ANSI/NISO standards for summary holdings statements.
- Non-Print records must follow AACR2 and conform to the "I" level MARC format for bibliographic records.
- Communication disciplines must meet the various appropriate national standards and must be approved by the State Library.

g) The project must be consistent with the region's five year plan for the Regional Bibliographic Data Base and Interlibrary Resources Sharing Program. A project submitted by a public library system must also be consistent with its long range plan.

h) The application must document the usefulness and value of the collection to the region and the State, by having attached a completed "Database Criteria Assessment Summary Sheet" form for each collection which is to be converted.

2) The system administering a retrospective conversion project will be required to supply the State Library with standard format machine-readable tapes at cost and to sign all necessary releases as required by the contractor or bibliographic utility to provide machine-readable data in standard format to the State Library. Cost of acquiring or duplicating tapes, when required by the State Library, will be funded by the State Library.

3) Grant funding will provide for **data input** only. Input of data in standard machine-readable format will be reimbursed at a fixed rate per title for monographs, serials, and for non-print materials, up to a maximum amount stated in the grant notification. The per title rate will be based on sampling data documented in the application but will not exceed $10.00 per title. This amount is intended to offset personnel cost for data entry and charges of the utilities involved for retrospective conversion.

   The exception to this data input rate will be Metro's Union List of Serials Project which will continue to operate under the reimbursement rates established in the Union List of Serials Guidelines dated March 24, 1986.

4) Approval of final claims will be based on completion of the necessary number of records and all other grant conditions and requirements. A record summary by format (monographs, serials) will be required to verify total number of records converted, the number of records converted by each library, the number of libraries completed, total number of new records, and the number of new records by each library.

5) Funds are to be used to convert bibliographic records into machine-readable form on a one-time basis. A library which has converted a record into OCLC or RLIN or UTLAS will not be reimbursed for converting the same record into another bibliographic data base. This restriction does not apply to tapeloading a machine-readable tape from one database to another.

6) The application must guarantee that the host library or library system will maintain records once converted, i.e., will assume responsibilities for additions, deletions, etc.

Consent to Release Data to New York State Library

_____
(Name of institution)

agrees to make available to the New York State Library all machine-readable data created by or used in this project, for use in systems to promote resource sharing.

_____
(Name of institution)

further agrees to execute, at present or as required in the future, all forms or releases required by any bibliographic utility or database vendor to make such data available to the New York State Library.

It is understood by both the New York State Library and the signatory that the intent of this consent form it to provide for a release of data only, and does not imply any additional fiscal obligation for the signatory.

_____
Date

_____
Signature

_____
Name

_____
Title

_____
Institution

Additional Voluntary Consent to Share Future Data

_____
(Name of institution)

also agrees to make any machine-readable data generated as a continuation of the project, regardless of source of funding, available to the New York State Library for the same purpose.

It is understood by both the New York State Library and the signatory that the intent of this consent form it to provide for a release of data only, and does not imply any additional fiscal obligation for the signatory.

_____
Date

_____
Signature

_____
Name

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Title

_____
Institution